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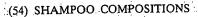
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(71). We, NATIONAL STARCH AND CHEMICAL CORPORATION, a corporation organised and existing under the laws of the State of Delaware, United States of America, of 10 Finderne Avenue, Bridgewater, New Jersey, United States of America, do hereby declare the invention for which we pray that a patent may be granted to us, and the method by which it is to be performed, to be particularly described in and by the following.

The present invention is directed to conditioning shampoo formulations prepared from specific cationic polymers, anionic surfactants and optional nonionic surfactants. The resultant shampoo formulations are economical to prepare, exhibit improved lathering and

possess commercially acceptable conditioning properties.

The need for a shampoo formulation which conditions (i.e. renders the hair more manageable) as it cleans has long been recognized in the art. Thus, while conditioning agents for application to already shampooed hair have long been known, it has only been within recent years that conditioning shampoos have become available. A number of these shampoos are specially formulated for mildness and hence, low detergency, so as to leave a portion of the hair's natural oils behind, Consequently the hair soon looks and feels greasy and dirty. Other formulations contain certain oily components, such as polyglycols, fatty acid esters of glycols, natural or synthetic waxes or lanolin derivatives, which components are deposited on the hair during shampooing. The oily nature of such components, however, inhibits lathering of the shampoo and also contributes to the feeling of greasy. dirty hair soon after shampooing.

A third type of conditioning shampoo contains a cationic polymer which can deposit on the hair during shampooing to impart the desired degree of manageability while overcoming the previously described problem of greasiness development. The primary difficulty encountered in preparing such shampoo conditioners has been that of achieving a stable system without destroying the delicate balance of conditioning and other functional properties. Previous attempts to provide solubility of the conditioning polymer while achieving suitable cleaning and lathering as well as deposition of the polymer on the hair have resulted in the finding that specific polymers when incorporated with amphoteric surfactants (detergents), optionally in the presence of nonionic or ionic surfactants, will result in shampoo formulations which condition as they clean. Such findings are due to the superior compatability of the amphoterics which the commonly used cationic polymers

thereby allowing maximum deposition of the polymer onto the hair during shampooing.

Thus, U.S. Patent 4,009,256 discloses a conditioning shampoo comprising an aqueous solution of (1) a cationic polymer which is a water-soluble acid salt of an aminoalkyl ester of a carboxylixc acid polymer, (2) an amphoteric detergent, and (3) optionally, at least one nonionic surfactant or at least one ionic surfactant or a combination thereof, wherein any plurality of ionic surfactants utilized consists of those of the same ionogenic class. The necessity for employing the amphoteric detergent in such formulations is supported and reinforced by substantially all the patents directed to conditioning shampoos. Thus, U.S.

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5.	Patents 3,313,734; 3,962,418; 2,999,069; 3,055,836; 3,996,146 and 3,400,198, among others, require the presence of an amphoteric or polar non-ionic component in order that the conditioning polymer be compatible with the remaining ingredients in the shampoo formulation. Of all the pertinent art known to applicants, only U.S. Patent 3,816,616 discloses a conditioning shampoo which does not require the presence of a compatibilizing agent and such teaching is directed only to the use of one very specific cationic polymer—a quaternized modified cellulosic polymer.	<b>5</b> .
10	The primary disadvantages to the requirement for an amphoteric detergent or surfactant to be present in conditioning shampoo formulations are related to their high cost and weak foaming ability relative to the anionic surfactants available. Thus the use of amphoteric surfactants substantially increases the cost of producing conditioning shampoos, thereby limiting the consumer market to which the products may be directed.	10
15	In accordance with the present invention there is provided a conditioning shampoo free of amphoteric surfactants and consisting essentially of water and (1) from 0.1 to 10.0%, by weight of the total solution, of a water-soluble acid salt of an aminoalkyl ester of a cationic polymer having a molecular weight of 5,000 to 250,000; (2) from 5.0 to 30.0%, by weight active solids based on the weight of the total solution, of selected expensions surfact to the solution of selected expensions surfact the solution of selected expensions.	15
20	of selected anionic surfactant as hereinafter defined; and (3) from 0 to 10.0%, by weight active solids based on the weight of the total solution of at least one nonionic surfactant.  When used in the usual and conventional manner in shampooing hair, the resultant shampoos of the described formulation exhibit both cleaning and conditioning properties.	20
25	Moreover, due to the relatively high level of anionic surfactant present in the formulations, these novel shampoos are characterized by superior lathering, an attribute widely desired in the consumer marketplace.  The cationic polymers useful in the conditioning shampoos of the present invention are those employed in U.S. Patent 4,009,256 to which reference should be made. Specific and	25
30	preferred examples of cationic polymers disclosed therein and useful in the present invention are mineral acid salts of amino-alkyl esters of homo- and copolymers of unsaturated carboxylic acids having from 3 to 5 carbon atoms, for example, acrylic acid, methacrylic acid, crotonic acid, ethacrylic acid, fumaric acid, maleic acid and itaconic acid, and the aminoalkyl groups containing from 2 to 6 carbon atoms. Useful aminoalkyl groups	30
35	include, for example, aminoethyl, N-methyl aminoethyl, N-ethyl aminoethyl, 2-aminopropyl and t-butyl aminoethyl, with the aminoethyl being preferred.  More specifically, the useful polymers include the salts of the aminoalkyl esters of (a) homopolymers of homopolymerizable unsaturated carboxylic acids having 3 to 5 carbon atoms; (b) copolymers of copolymerizable mixtures of acids, and (c) copolymers formed of	35
40	unsaturated carboxylic acids having 3 to 5 carbon atoms and at least one copolymerizable ethylenically unsaturated comonomer selected from the group consisting of vinyl acetate and vinyl propionate; vinyl methyl ether and vinyl ethyl ether; the C <sub>1</sub> -C <sub>8</sub> alkyl half esters of maleic and fumaric acids, for example, diethyl furmarate, dioctyl furmarate, dibutyl maleate, 'dioctyl maleate, monobutyl maleate, monomethyl fumarate, and monooctyl	40
45 	fumarate; amides of acrylic and methacrylic acids, for example, acrylamide, N-methyl acrylamide, and methacrylamide; and the $C_1$ - $C_{18}$ alkyl and $C_2$ - $C_4$ hydroxyalkyl esters of acrylic and methacrylic acids. Specific examples of the latter class of comonomers includes methyl acrylate, ethyl acrylate, butyl acrylate, octyl acrylate, dodecyl acrylate, stearyl acrylate, hydroxyethyl acrylate, hydroxypropyl acrylate, as well as the corresponding	45
50	methacrylate esters. Preferred comonomers include in the amides and the C <sub>1</sub> -C <sub>18</sub> alkyl and C <sub>2</sub> -C <sub>4</sub> hydroxyalkyl esters of acrylic and methacrylic acids.  It will be recognized that, for the purposes of the present invention, the copolymeric mixture of copolymerizable carboxylic acids of group (b) may contain the various	50
55	monomeric components in any proportion. However, in the case of the copolymers of group (c), there must be present at least 50 mole percent, and preferably 75 mole percent, of the unsaturated carboxylic acid component.  Particularly preferred cationic polymers for use herein are the phosphate salts of	55
60	poly(aminoethyl acrylate) or poly(aminoethyl acrylate hydroxypropyl acrylate) or a terpolymer of an aminoalkyl ester of an ethylenically unsaturated carboxylic acid, an amide of an ethylenically unsaturated carboxylic acid wherein said cationic polymer has a molecular weight between 25 000 and 100 000	
65	25,000 and 100,000.  With regard to the preparation of cationic polymers useful in the practice of this invention, the practitioner will recognize that such materials may be commercially available or may normally be synthesized either (1) by polymerizing monomers which have the functional aminoalkyl ester groups attached or (2) by subsequently affixing said groups to a base polymer such as the homopolymer of an ethylenically unsaturated carboxylic acid or a	65

5	copolymer formed with at least one ethylenically unsaturated carboxylic acid and one or more copolymerziable comonomers. For example, the first method would typically involve the homopolymerization of one of the following: t-butylaminoethyl methacrylate dimethylaminoethyl methacrylate, or the copolymerization of any one of the foregoing compounds with one or more of the above-mentioned copolymerizable comonomers. Such methods are disclosed in, inter alia, U.S. Patent No. 2,979,491, U.S. Patent No. 2,744,884, and in U.S. Patent No. 2,625,471. The second method wherein the functional aminoalkyl ester groups	5
.0.	are affixed to the base polymer may be carried out according to the process taught in, interalia, U.S. Patent No. 3,372,149. Regardless of the means of synthesis selected, a well known free radical polymerization procedure is usually entailed. These compounds, upon utilization in accordance with this invention, are all characterized by their ability to display	10
.5	the desirable hair conditioning properties.  The selected anionic surfactants employed in the present shampoo compositions are also discussed in U.S. Patent 4,009,256 and are specifically one or more of the following: a fatty alcohol sulfate or ether sulfate such as sodium lauryl sulfate, triethanolamine lauryl sulfate or sodium lauryl ether sulfate; an alkylaryl sulfonate, e.g. sodium or potassium isopropylbenzene sulfonate or isopropyl naphthalene sulfonate; an alkali metal alkyl	-15
20	sulfosuccinate, e.g. sodium octenyl sulfosuccinate, sodium N-metnyl-N-painttoyl tautate, sodium oleyl isethionate; a fatty alcohol ether sulfosuccinate; an alkali metal salt of, a sulfosuccinate half ester of an alkanolamide; or an alkali metal salt of an alkylarylpolyethoxyethanol sulfate or sulfonate, e.g., a sodium t-octylphenoxypolyethoxyethyl sulfate or	.20
25	sulfonate having from 1 to 5 oxyethylene units.  If desired, various nonionic surfactants may also be employed including the polyoxyal-kylene alkyl ethers and condensates of alkylene oxides with fatty acids.  With regard to proportions, these novel conditioning shampoos generally contain from 0.1-10.0%, preferably 0.5 to 2.0% by weight of the total solution of the cationic polymer, 5.0 to 30.0%, preferably 10.0 to 20.0%, by weight of the total solution of the anionic	25
30	surfactant and 0 to 10.0%, preferably 2.0 to 8.0%, by weight of the total solution of the nonionic surfactant.  The practitioner will recognize that the actual concentration of any particular cationic polymer used in a given conditioning shampoo preparation encompassed within this	30
35	invention may vary within the prescribed range, for many reasons. For example, the maximum usable concentration will depend on the nature and molecular weight of the polymer, its compatability with the particular surfactant employed and any optional ingredients used, the degree of pH adjustment, if required, and the neutralizing agent	-35
40	utilized. Since some of the ingredients employed in the practice of this invention tend to support bacterial growth, a small amount of a preservative should be added to prevent such microbial growth. Though other well known preservatives and bactericides such as formaldehyde may be employed, we prefer to use the lower molecular weight alkyled budrovybenzastes.	. 40
45	Optional ingredients, in addition to the nonionic surfactant described hereinabove, may be incorporated into the conditioning shampoo compositions of this invention in order to modify certain properties thereof. Among these additives may be included: emollients and lubricants such as glycols, esters, and glycerine; lanolin compounds; protein hydrolyzates and other protein derivatives, ethylene oxide adducts, and cholesterol derivatives; dyes and other colorants, perfumes, and ultravoilet light absorbers, chelating agents and foam boosters. The polymeric conditioning agents show little or no tendency to react with such	45
50	additives.  The novel, hair conditioning shampoo compositions of this invention are prepared by	50
55	moderate agitation. When a homogeneous system is obtained, any optional ingredients may be added under appropriate conditions. For instance, the addition of a compound such as an amide may require heating the solution to ensure dispersion of the melted waxy material and the subsequent addition of a particular compound such as a perfume will require adequate cooling, prior thereto, to avoid its volatilization. Also it may be desired to slightly	55
60	adjust the pH level.  The pH adjusting agent and quantity to be used should be chosen to ensure maximum efficiency of a shampoo composition which will not damage the hair or irritate the eyes or skin. A preferred pH range, for the solutions prepared according to this invention, is from 3.5-7.0. Since the initial pH level of the shampoo compositions herein is usually between 5.0 and the preferred that weak acids such as citric acid, acetic acid, phosphoric acid, and	
<b>65</b>	the like and weak bases such as the alkanol-amines, e.g. triethanolamine, diethanolamine, etc. be used as pH adjusting agents. It is to be understood that the phrase 'consisting essentially of' as used herein is not intended to exclude from the scope of this invention	ř 65

Ingredients		=	, III	<u>.</u>	· >	ΙΛ
Phosphate salt of poly(aminoethyl acrylate hydroxypropyl acrylate) (18% aqeuous solution) - Catrex supplied by National Starch and Chemical Corp.	2.60	11.20	5:60 11.20 5.60 11.20	11.20	2.60	11.20
Sodium lauryl ether sulfate (2 moles ethylene oxide) (25% aqueous solution) - Maprofix ES supplied by Onyx Chemical Co.	20.00	35.00	*	×	*	
Triethanolamine lauryl sulfate (40% aqueous solution) - Maprofix TLS-500C supplied by Onyx Chemical Co.	· ×	×	15.00	15.00 20.00	 ×	×
Disodium salt of a sulfosuccinate half ester of an alkanolamide (30% aqueous solution) - Monamate OPA-30 supplied by Mona Industries.	×	×	<del>-</del>	· ×	45.00	45.00
Modified lauric diethanolamide - Monamid 716 supplied by Mona Industries.	2.00	2.00	2.00	2.00	2.00	2.00
PEG (400) Monostearate (nonionic foam booster, stabilizer, thickener)	3.00	3.00	3.00	3.00	3.00	3.00
Distilled water	69.40	48.80		74.40 63.80 44.40	44,40	38.80

Each of the shampoo compositions was then evaluated as follows:

Approximately 1/2 gram of shampoo was uniformly applied to wet swatches of virgin, brown European hair, each 10 inches in length and weighing approximately 2 grams. Each swatch was gently massaged for about 2 minutes to produce lather and the hair was then rinsed with warm tap water for one minute. The foregoing steps were repeated. Excess water was then squeezed out of the thoroughly rinsed swatches by running them between two fingers. Swatches were then found to be easily combed through while wet. Swatches were soft and silky and easy to comb when dry.

10 Example VII

Shampoo compositions according to the present invention were prepared using a plurality of anionic surfactants and adopted for use on normal, oil and dry hair as shown in Table II.

In each case, the Condanol (Registered Trade Mark) SBFA/3 was dissolved in water and the cationic polymer added with agitation. After the solution became homogenous, the remaining ingredients were added with agitation continuing until a uniform mixture was formed. After filtering, the shampoo formulations were evaluated as described in Examples I - VI and all three found to give superior results leaving the hair clean, and manageable with good body.

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		Parts by Weight	Dry Hair
Ingredients	Normal Hair	Olly nall	21.00
Distilled water	24.90	16.90	31.90
ther sulfosuccinate (40% aqueous anol SBFA/3 supplied by Dutton &	40.00	40.00	40.00
Phosphate salt of poly(aminoethyl acrylate hydroxy- propyl acrylate) (18% aqueous solution) Catrex supplied by National Starch and Chemical Corp.	5.60	5.60	5.60
Lanolin Derivative Emolient - Lanexol AWS supplied by Croda.		×	1.00
Sodium lauryl ether sulfate (2 moles ethylene oxide) (25% aqueous solution) - Maprofix ES supplied by Onyx Chemical Co.	10.00	15.00	5.00
Triethanolamine lauryl sulfate (40% aqueous solution) - Maprofix TLS-500C supplied by Onyx Chemical Co.	15.00	20.00	10.00
Polyoxyethylene (4) lauryl ether - Brij (Registered Trade Mark) 2.00 30 supplied by ICI.	2.00	1.00	3.00
Modified lauric diethanolamide - Monamid 716 supplied by Mona Industries.	2.00	1.00	3.00
Sodium Chloride	0.50	0.50	0.50
Dve. Perfume, Preservative	q.s.	q.s.	q.s.
10% Phosphoric acid	to pH 6-7	to pH.6-7	to pH 6-7

-	Example VIII Shampoo compositions similar to those described in Example procedure disclosed therein and then evaluated in the management of the shampoo compositions are as follows:	nple VII were prepared using anner described hereinbelow.	
5	TABLE III		5
	Ingredients	Amounts	
10	Distilled water Monamate OPA-30	q.s. to 100% 25.95	10
	Catrex Maprofix ES Maprofix TLS-500C	0 to 7% 10.85 14.16	
15	Brij 30 Monamid 716	1.89 2.36	15
	NaCl Fragrance Tetrasodium EDTA (a chelating agent)	0.30 0.09 0.24	•
20	Versene (Registered Trade Mark) 100 suppli by Dow	ed .	20
	Methyl-p-hydroxy benzoate (preservative) Propyl-p-hydroxybenzoate (preservative)	0.09 0.01	,
25	Theory of test method: Hair is known to contain a number of "free" anionic (ac	idic) sites and "free" cationic	25
30	(basic) sites which can bind chemical species of the opposits shown that the basic groups will readily and reproducibly conformic acid medium. The degree of combination is easily deteof Orange II depletion from a standard solution in contact	e ionogenic class. It has been nbine with Orange II dye in a rmined through measurement	30
35	conditions.  It is further known that the deposition of a cationic polymnumber of basic sites per unit of hair. This modification combining capacity of the hair. The degree of cationic pedetermined by relating dye combining capacity of hair treated treated with a control sample.	, therefore, adds to the dye olymer pickup by the hair is	35
40	Preparation of orange II stock solution:  The acid form of Orange II was prepared by acidifying a co solution (p-(2-hydroxy-1-naphthylazo) benzene sulfonic acid hydrochloric acid. The dye was then isolated from an aqu filtration, then dried. A stock solution of the acid Orange II we concentration of 2 mg acid Orange II per gram of reages	d/Pylam Products Inc.) with seous - alcoholic solution by as prepared in formic acid at a	40
45	Standard curve preparation:	·	45
50	A standard curve of optical density vs. dye concentration valiquots of 0.10g, 0.20g, 0.30, 0.40g, and 0.50g. of stock syolumetric flasks. Two milliliters of 0.20 M sodium acetate by acetic acid) were added and finally diluted to 50.00 ml with dof each was determined at 485 mm with a Beckman DB. The standard curve was a straight line eminating from the contraction.	solution into pretared 50 ml.  Iffer (adjusted to pH 5.6 with istilled water. Optical density spectrophotometer.	50
55	C = 0.0024D  Where C = mmol of H+ Orange II in test so D = Optical density of test solution	olution	55

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The results obtained for each of the shampoo compositions are shown below and are compared with a commercially available conditioning shampoo.

Mean Dye Pickup

; 5	Sample	official control of the control of t	(mmol/g hair)		5
10	Test shampoo with Test shampoo with Test shampoo with Test shampoo with Commercial Conditi (containing a cation	3% Catrex 5.7% Catrex 7% Catrex oning Shampoo	0.112 0.125 0.129 0.138 0.126	en e	10
. 15	cellulosic polymer, an amphoteric surfa	an anionic and ctant)			. 15
	Hair preparation and exposure to Ten inch bleached blonde hair v weight. These were secured and cement.	vas separated int	o swatches of approximate out on the contract of the contract	mately 2 grams in hread and epoxy	
	A swatch under test (8 per test with approximately 0.05 g. of the throughout the swatch. After a terfor one minute under 100°F, tap	est shampoo. La n minute contact	ther was formed and c time, the swatch was:	evenly distributed rinsed thoroughly	20
- 25	dried at 120°F. for 1 hour then  Dye pickup and measurement				25
: 30	Approximately one-half inch of the unbound end and weighed onto of stock dye solution were pipetted was allowed to remain in contact w Research Journal, 38 (11) 1968) r	pretared 50 ml I into each flask. with the dye solut	Erlenmeyer flasks. Two Flasks were then stopp ion for 16 hours. Robb	entyfive milliliters bered and the hair bins et al. (Textile	30
35	conditions in less than 2 hours. A 0.2 g. 0.4 g. aliquot of each s pretared 50 ml volumetric flask. To added and the samples were dilute and optical density was determined amount (mmol.) of dye sorbed by	wo milliliters of ed with distilled at 485 my with a	the sodium acetate but water. Samples were i a Beckman DB spectro	ffer solution were mixed thoroughly ophotometer. The	35
: 40	$DP = \frac{C_I - C_F}{Wh}$	$C_1 = m$ $C_F = m$	ye bound by one gra mol. dye in 25 ml st mol. dye in 25 ml exha Jeight hair sample (g	ock solution usted dye solution	40
45	$C_{F} = .0024D \times \frac{30.5}{WA}$	WA = W	optical density test so leight (grams) aliquot colution"	'exhausted dye	45
	***	30.5 = W	/eight (grams) of 25 π	il stock solution.	

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Example IX

In accordance with the procedure described in Example I, shampoo compositions can be prepared using any of a variety of cationic polymers. Thus, shampoos which lather and rinse well and leave the hair manageable and full bodied may be prepared within the scope of the present invention using any of the representative polymers shown in Table IV.

TABLE IV

	r 4	Monomer proportions	
10	Polymers	mole percent	10
	Phosphate salt of poly(aminoethyl)acrylate	*	
15	Hydrochloride salt of poly(aminoethyl acrylate/acrylamide)	50/50	15
	Phosphate salt of poly(aminoethyl acrylate/aminoethyl crotonate)	95/5	
. 20	Hydrochloride salt of poly(aminoethyl methacrylate	100	20
26	Phosphate salt of poly(2-aminopropyl acrylate/diethyl fumarate)	75/25	25
. 25	Phosphate salt of poly(aminoethyl acrylate/ acrylamide/hydroxypropyl acrylate)	80/4/16	.23
30	Phosphate salt of poly(aminoethyl acrylate/ acrylamide/hydroxypropyl acrylate)	75/15/10	30
	Phosphate salt of poly(aminocthyl acrylate/diethyl fumarate)	85/15	
. 35	Phosphate salt of poly(aminoethyl maleate/ vinyl methyl ether)	50/50	35
	Phosphate salt of poly(N-ethyl aminoethyl methacrylate/dioctyl fumarate)	80/20	40
40	Sulfuric acid salt of poly(aminoethyl acrylate/monomethyl maleate)	80/20	
. 45	Sulfuric acid salt of poly(N-methyl amino- ethyl acrylate/ethyl acrylate)	70/30	45
	Phosphate salt of poly(aminoethyl methacrylate/dodecyl methacrylate)	80/20	
50	Hydrochloride salt of poly(aminoethyl acrylate/ vinyl acetate)	80/20	. 50
55	WHAT WE CLAIM IS:  1. An aqueous conditioning shampoo free of amphoteric sur essentially of water and:  i) from 0.1 to 10.0%, based on the total weight of the solution.	of a cationic polymer.	55
60	said polymer having a molecular weight in the range 5,000 to 250 addition salt of polymer containing aminoalkyl ester groups of ii) from 5.0 to 30.0% by weight active solids, based on the weight or more anionic surfactants selected from: fatty alcohol sulfates and	t of the solution, of one ether sulfates, alkylaryl	60
	sulfonates, alkali metal alkyl sulfosuccinates, tatty alconol ether metal sulfosuccinate half-esters of an alkanolamide, and alkali meterhanol sulfates and sulfonates; and	al alkylarylpolyethoxy-	
65	iii) from 0 to 10.0% by weight active solids, based on the weigh or more nonionic surfactants.	, or the solution, or one	65